

EXPRESS MAIL MAILING LABEL NO. EV334229294US

FORM PTO - 1449 INFORMATION DISCLOSURE STATEMENT		ATTORNEY DOCKET NO.: ASC-057C1 APPLICANTS: Hammond <i>et al.</i> SERIAL NO.: Not yet assigned FILING DATE: Herewith
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U.S. PATENT DOCUMENTS

EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
<i>AC</i>	A1	4,710,788	12/01/1987	Dambkes <i>et al.</i>			
	A2	4,920,076	04/24/1990	Holland <i>et al.</i>			
	A3	4,990,979	02/05/1991	Otto			
	A4	5,241,197	08/31/1993	Murakami <i>et al.</i>			
	A5	5,291,439	03/01/1994	Kauffmann <i>et al.</i>			
	A6	5,312,766	05/17/1994	Aronowitz <i>et al.</i>			
	A7	5,327,375	07/05/1994	Harari			
	A8	5,442,205	08/15/1995	Brasen <i>et al.</i>			
	A9	5,461,243	10/24/1995	Ek <i>et al.</i>			
	A10	5,523,592	06/04/1996	Nakagawa <i>et al.</i>			
	A11	5,534,713	07/09/1996	Ismail <i>et al.</i>			
	A12	5,596,527	01/12/1997	Tomioka <i>et al.</i>			
	A13	5,617,351	04/01/1997	Bertin <i>et al.</i>			
	A14	5,683,934	11/04/1997	Candelaria			
	A15	5,739,567	04/14/1998	Wong			
	A16	5,777,347	07/07/1998	Bartelink			
	A17	5,780,922	07/14/1998	Mishra <i>et al.</i>			
	A18	5,786,612	07/28/1998	Otani <i>et al.</i>			
	A19	5,792,679	08/11/1998	Nakato			
	A20	5,808,344	09/15/1998	Ismail <i>et al.</i>			
	A21	5,847,419	12/08/1998	Imai <i>et al.</i>			
	A22	5,891,769	04/06/1999	Liaw <i>et al.</i>			
	A23	5,906,951	05/25/1999	Chu <i>et al.</i>			
<i>AC</i>	A24	5,963,817	10/05/1999	Chu <i>et al.</i>			

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<i>AC</i>	A25	5,986,287	11/16/1999	Eberl <i>et al.</i>
	A26	5,998,807	12/07/1999	Lustig <i>et al.</i>
	A27	6,013,134	01/11/2000	Chu <i>et al.</i>
	A28	6,058,044	05/02/2000	Sugiura <i>et al.</i>
	A29	6,059,895	05/09/2000	Chu <i>et al.</i>
	A30	6,096,590	08/01/2000	Chan <i>et al.</i>
	A31	6,107,653	08/22/2000	Fitzgerald
	A32	6,111,267	08/29/2000	Fischer <i>et al.</i>
	A33	6,117,750	09/12/2000	Bensahel <i>et al.</i>
	A34	6,130,453	10/10/2000	Mei <i>et al.</i>
	A35	6,143,636	11/07/2000	Forbes <i>et al.</i>
	A36	6,204,529	03/20/2001	Lung <i>et al.</i>
	A37	6,207,977 B1	03/27/2001	Augusto
	A38	6,249,022	06/19/2001	Lin <i>et al.</i>
	A39	6,251,755 B1	06/26/2001	Furukawa <i>et al.</i>
	A40	6,266,278	07/24/2001	Harari <i>et al.</i>
	A41	6,339,232 B1	01/15/2002	Takagi
	A42	6,348,407	02/2002	Gupta <i>et al.</i>
	A43	6,350,993 B1	02/26/2002	Chu <i>et al.</i>
	A44	6,399,970 B2	06/04/2002	Kubo <i>et al.</i>
	A45	6,407,406	06/2002	Tezuka, Tsutomu
	A46	6,423,989	07/2002	Nakano, Koji
	A47	6,468,869	10/2002	Yang <i>et al.</i>
	A48	6,498,359 B2	12/24/2002	Schmidt <i>et al.</i>
	A49	6,531,324	03/2003	Hsu <i>et al.</i>
	A50	6,541,321	04/2003	Butler <i>et al.</i>
<i>AC</i>	A51	6,551,399	04/2003	Speh <i>et al.</i>

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<i>Ac</i>	A52	6,559,040	05/2003	Yu <i>et al.</i>			
	A53	6,563,260	05/2003	Yamamoto <i>et al.</i>			
	A54	6,570,205	05/2003	Shin <i>et al.</i>			
	A55	US 2001/0003364 A1	06/14/2001	Sugawara <i>et al.</i>			
	A56	US 2002/0100942 A1	08/01/2001	Fitzgerald <i>et al.</i>			
	A57	US 2002/0123197 A1	09/05/2002	Fitzgerald <i>et al.</i>			
	A58	US 2002/0125471 A1	09/12/2002	Fitzgerald <i>et al.</i>			
	A59	US 2002/0125497 A1	09/12/2002	Fitzgerald			
	A60	US 2002/0140031 A1	10/03/2002	Rim			
	A61	US 2002/0197803 A1	12/26/2002	Leitz <i>et al.</i>			
	A62	US 2003/0013323 A1	01/16/2003	Hammond <i>et al.</i>			
	A63	US 2003/0052334 A1	03/20/2003	Lee <i>et al.</i>			
	A64	US 2003/0057439 A1	03/27/2003	Fitzgerald			
	A65	US 2003/0077867 A1	04/24/2003	Fitzgerald			
<i>Ac</i>	A66	US 2003/0089901 A1	05/15/2003	Fitzgerald			

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EXAM INIT.		DOCUMENT NUMBER	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG (Y/N)
<i>Ac</i>	B1	41 01 167 A1	07/23/1992	DE			01/17/1991	No	Yes (abstract only)
	B2	0 683 522 A2	11/22/1995	EP			04/26/1995	No	Yes
	B3	0 829 908 A2	03/18/1998	EP			09/17/1997	No	Yes
	B4	0 838 858 A2	04/29/1998	EP			08/08/1997	No	Yes
	B5	0 844 651 A1	05/27/1998	EP			11/18/1997	No	Yes
	B6	1 020 900 A2	07/19/2000	EP			01/12/2000	No	Yes
	B7	1 174 928 A1	01/23/2002	EP			03/28/2000	No	Yes
	B8	63122176	05/26/88	JP			11/11/1986	Yes	Yes
<i>Ac</i>	B9	4-307974	10/30/1992	JP			04/05/1991	No	No

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	B10	7-106466	04/21/1995	JP			10/05/1993	No	No
	B11	11-233744	08/27/1999	JP			11/30/1998	No	No
	B12	2001319935 A2	11/16/2001	JP			05/11/2000	Yes	Yes
	B13	02241195	08/28/2002	JP			02/15/2001	No	Yes
	B14	WO 98/59365	12/30/1998	PCT			06/23/1998	No	Yes
	B15	WO 99/53539	10/21/1999	PCT			04/09/1999	No	Yes
	B16	WO 00/54338	09/14/2000	PCT			03/11/2000	No	Yes
	B17	WO 01/54202 A1	07/26/2001	PCT			01/18/2001	No	Yes
	B18	WO 01/93338 A1	12/06/2001	PCT			05/16/2001	No	Yes
	B19	WO 01/99169 A2	12/27/2001	PCT			06/20/2000	No	Yes
	B20	WO 02/13262 A2	02/14/2002	PCT			08/06/2001	No	Yes
	B21	WO 02/15244 A2	02/21/2002	PCT			08/10/2001	No	Yes
	B22	WO 02/47168 A2	06/13/2002	PCT			12/04/2001	No	Yes
	B23	WO 02/071488 A1	09/12/2002	PCT			02/07/2002	No	Yes
	B24	WO 02/071491 A1	09/12/2002	PCT			02/07/2002	No	Yes
	B25	WO 02/071495 A1	09/12/2002	PCT			02/07/2002	No	Yes
OTHER ART, JOURNAL ARTICLES, ETC.									
EXAM. INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)								
	C1	"2 Bit/Cell EEPROM Cell Using Band-to-Band Tunneling for Data Read-Out," <u>IBM Technical Disclosure Bulletin</u> , Vol. 35, No. 4B (September 1992) pp. 136-140.							
	C2	Aigouy <i>et al.</i> , "MOVPE Growth and optical characterization of ZnSe/ZnS strained layer superlattices," <u>Superlattices and Microstructures</u> , Vol. 16, No. 1 (1994) pp. 71-76							
	C3	Anonymous, "Germanium P-Channel Mosfet," <u>IBM Technical Disclosure Bulletin</u> , Vol. 28, No. 2 (July 1, 1985) p. 500.							
	C4	Armstrong <i>et al.</i> , "Design of Si/SiGe Heterojunction Complementary Metal-Oxide-Semiconductor Transistors," <u>IEDM Technical Digest</u> (1995) pp. 761-764.							
	C5	Armstrong, "Technology for SiGe Heterostructure-Based CMOS Devices," Submitted to the Massachusetts Institute of Technology Department of Electrical Engineering and Computer Science on June 30, 1999, pp. 1-154.							

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	C6	Barradas <i>et al.</i> , "RBS analysis of MBE-grown Si/Ge/(001) Si heterostructures with thin, high Ge content SiGe channels for HMOS transistors," <u>Modern Physics Letters B</u> (2001) (abstract)
	C7	Bouillon <i>et al.</i> , "Search for the optimal channel architecture for 0.18/0.12 μ m bulk CMOS Experimental study," <u>IEEE</u> , (1996) pp. 21.2.1-21.2.4.
	C8	Bufler <i>et al.</i> , "Hole transport in strained $Si_{1-x}Ge_x$ alloys on $Si_{1-y}Ge_y$ substrates," <u>Journal of Applied Physics</u> , Vol. 84, No. 10 (November 15, 1998) pp. 5597-5602.
	C9	Canaperi <i>et al.</i> , "Preparation of a relaxed Si-Ge layer on an insulator in fabricating high-speed semiconductor devices with strained epitaxial films," <u>Intern. Business Machines Corporation, USA</u> (2002) (abstract).
	C10	Carlin <i>et al.</i> , "High Efficiency GaAs-on-Si Solar Cells with High V_{oc} Using Graded GeSi Buffers," <u>IEEE</u> (2000) pp. 1006-1011
	C11	Cheng <i>et al.</i> , "Electron Mobility Enhancement in Strained-Si n-MOSFETs Fabricated on SiGe-on-Insulator (SGOI) Substrates," <u>IEEE Electron Device Letters</u> , Vol. 22, No. 7 (July 2001) pp. 321-323.
	C12	Cheng <i>et al.</i> , "Relaxed Silicon-Germanium on Insulator Substrate by Layer Transfer," <u>Journal of Electronic Materials</u> , Volume 30, No. 12 (2001) pp. L37-L39
	C13	Cullis <i>et al.</i> , "Growth ripples upon strained SiGe epitaxial layers on Si and misfit dislocation interactions," <u>Journal of Vacuum Science and Technology A</u> , Vol. 12, No. 4 (July/August 1994) pp. 1924-1931.
	C14	Cullis <i>et al.</i> , "The characteristics of strain-modulated surface undulations formed upon epitaxial $Si_{1-x}Ge_x$ alloy layers on Si," <u>Journal of Crystal Growth</u> , Vol 123 (1992) pp. 333-343.
	C15	Currie <i>et al.</i> , "Carrier mobilities and process stability of strained S in- and p-MOSFETs on SiGe virtual substrates," <u>J. Vac. Sci. Technol. B</u> , Vol. 19, No. 6 (Nov/Dec 2001) pp. 2268-2279.
	C16	Currie <i>et al.</i> , "Controlling threading dislocation densities in Ge on Si using graded SiGe layers and chemical-mechanical polishing," <u>Applied Physics Letters</u> , Vol. 72, No. 14 (April 6, 1998) pp 1718-1720.
	C17	Eaglesham <i>et al.</i> , "Dislocation-Free Stranski-Krastanow Growth of Ge on Si(100)," <u>Physical Review Letters</u> , Vol. 64, No. 16 (April 16, 1990) pp. 1943-1946.
	C18	Fischetti <i>et al.</i> , "Band structure, deformation potentials, and carrier mobility in strained Si, Ge, and SiGe alloys," <u>J. Appl. Phys.</u> , Vol. 80, No. 4 (August 15, 1996) pp. 2234-2252.
	C19	Fischetti, "Long-range Coulomb interactions in small Si devices. Part II. Effective electronmobility in thin-oxide structures," <u>Journal of Applied Physics</u> , Vol. 89, No. 2 (January 15, 2001) pp. 1232-1250.
	C20	Fitzgerald <i>et al.</i> , "Relaxed Ge_xSi_{1-x} structures for III-V integration with Si and high mobility two-dimensional electron gases in Si," <u>J. Vac. Sci. Technol. B</u> , Volume 10, No. 4 (July/August 1992) pp. 1807-1819.
	C21	Fitzgerald <i>et al.</i> , "Dislocation dynamics in relaxed graded composition semiconductors," <u>Materials Science and Engineering B67</u> , (1999) pp. 53-61.
	C22	Fitzgerald <i>et al.</i> , "Totally relaxed Ge_xSi_{1-x} layers with low threading dislocation densities grown on Si substrates," <u>Appl. Phys. Lett.</u> , Vol. 59, No. 7 (August 12, 1991) pp. 811-813.

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	C23	Garonne <i>et al.</i> , "Silicon vapor phase epitaxial growth catalysis by the presence of germane," <u>Applied Physics Letters</u> , Vol. 56, No. 13 (March 26, 1990) pp. 1275-1277.
	C24	Grützmacher <i>et al.</i> , "Ge segregation in SiGe/Si heterostructures and its dependence on deposition technique and growth atmosphere," <u>Applied Physics Letters</u> , Vol. 63, No. 18 (November 1, 1993) pp. 2531-2533.
	C25	Hackbart <i>et al.</i> , "Alternatives to thick MBE-grown relaxed SiGe buffers," <u>Thin Solid Films</u> , Vol. 369, No. 1-2 (2000) pp. 148-151.
	C26	Hackbart <i>et al.</i> , "Strain relieved SiGe buffers for Si-based heterostructure field-effect transistors," <u>Journal of Crystal Growth</u> , Vol. 201 (1999) pp. 734-738
	C27	Herzog <i>et al.</i> , "SiGe-based FETs: buffer issues and device results," <u>Thin Solid Films</u> , Vol. 380 (2000) pp. 36-41.
	C28	Höck <i>et al.</i> , "Carrier mobilities in modulation doped Si _{1-x} Ge _x heterostructures with respect to FET applications," <u>Thin Solid Films</u> , Vol. 336 (1998) pp. 141-144.
	C29	Höck <i>et al.</i> , "High hole mobility in Si _{0.17} Ge _{0.83} channel metal-oxide-semiconductor field-effect transistors grown by plasma-enhanced chemical vapor deposition," <u>Applied Physics Letters</u> , Volume 76, No. 26 (June 26, 2000) pp. 3920-3922.
	C30	Höck <i>et al.</i> , "High performance 0.25 μm p-type Ge/SiGe MODFETs," <u>Electronics Letters</u> , Vol. 34, No. 19 (September 17, 1998) pp. 1888-1889.
	C31	Ismail <i>et al.</i> , "Modulation-doped n-type Si/SiGe with inverted interface," <u>Appl. Phys. Lett.</u> , Vol. 65, No. 10 (September 5, 1994) pp. 1248-1250.
	C32	Kearney <i>et al.</i> , "The effect of alloy scattering on the mobility of holes in a Si _{1-x} Ge _x quantum well," <u>Semicond. Sci Technol.</u> , Vol. 13 (1998) pp. 174-180.
	C33	Kikkawa <i>et al.</i> , "Effect of strained InGaAs step bunching on mobility and device performance in n-InGaP/InGaAs/GaAs pseudomorphic heterostructures grown by metalorganic vapor phase epitaxy," <u>Journal of Crystal Growth</u> , Vol. 145 (1994) pp. 799-807.
	C34	Koester <i>et al.</i> , "Extremely High Transconductance Ge/Si _{0.4} Ge _{0.6} p-MODFET's Grown by UHV-CVD," <u>IEEE Electron Device Letters</u> , Vol. 21, No. 3 (March 2000) pp. 110-112.
	C35	König <i>et al.</i> , "Design Rules for n-Type SiGe Hetero FETs," <u>Solid State Electronics</u> , Vol. 41, No. 10 (1997), pp. 1541-1547.
	C36	König <i>et al.</i> , "p-Type Ge-Channel MODFET's with High Transconductance Grown on Si Substrates," <u>IEEE Electron Device Letters</u> , Vol. 14, No. 4 (April 1993) pp. 205-207.
	C37	König <i>et al.</i> , "SiGe HBTs and HFETs," <u>Solid-State Electronics</u> , Vol. 38, No. 9 (1995) pp. 1595-1602.
	C38	Lee <i>et al.</i> , "Strained Ge channel p-type metal-oxide-semiconductor field-effect transistors grown on Si _{1-x} Ge _x /Si virtual substrates," <u>Applied Physics Letters</u> , Volume 79, No. 20 (November 12, 2001) pp. 3344-3346.
	C39	Lee <i>et al.</i> , "Strained Ge channel p-type MOSFETs fabricated on Si _{1-x} Ge _x /Si virtual substrates," <u>Mat. Res. Soc. Symp. Proc.</u> , Volume 686 (2002) pp. A1.9.1-A1.9.5.
	C40	Leitz <i>et al.</i> , "Channel Engineering of SiGe-Based Heterostructures for High Mobility MOSFETs," <u>Mat. Res. Soc. Symp. Proc.</u> , Volume 686 (2002) pp. A3.10.1-A3.10.6.

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	C41	Leitz <i>et al.</i> , "Dislocation glide and blocking kinetics in compositionally graded SiGe/Si," <u>Journal of Applied Physics</u> , Vol. 90, No. 6 (September 15, 2001) pp. 2730-2736.
	C42	Leitz <i>et al.</i> , "Hole mobility enhancements in strained Si/Si _{1-y} Ge _y p-type metal-oxide-semiconductor field-effect transistors grown on relaxed Si _{1-x} Ge _x (x<y) virtual substrates," <u>Applied Physics Letters</u> , Volume 79, No. 25 (December 17, 2001) pp. 4246-4248.
	C43	Li <i>et al.</i> , "Design of high speed Si/SiGe heterojunction complementary metal-oxide-semiconductor field effect transistors with reduced short-channel effects," <u>J. Vac. Sci. Technol., A</u> 20(3) (May/June 2002) pp. 1030-1033.
	C44	Maiti <i>et al.</i> , "Strained-Si heterostructure field effect transistors," <u>Semicond. Sci. Technol.</u> , Vol. 13 (1998) pp. 1225-1246.
	C45	Meyerson <i>et al.</i> , "Cooperative Growth Phenomena in Silicon/Germanium Low-Temperature Epitaxy," <u>Applied Physics Letters</u> , Vol. 53, No. 25 (December 19, 1988) pp. 2555-2557.
	C46	Mizuno <i>et al.</i> , "Electron and Hole Mobility Enhancement in Strained-Si MOSFET's on SiGe-on-Insulator Substrates Fabricated by SIMOX Technology," <u>IEEE Electron Device Letters</u> , Vol. 21, No. 5 (May 2000) pp. 230-232.
	C47	Nayak <i>et al.</i> , "High Mobility Strained-Si PMOSFET's," <u>IEEE Transactions on Electron Devices</u> , Vol. 43, No. 10 (October 1996) pp. 1709-1716.
	C48	O'Neill <i>et al.</i> , "SiGe Virtual substrate N-channel heterojunction MOSFETS," <u>Semicond. Sci. Technol.</u> , Vol. 14 (1999) pp. 784-789.
	C49	Parker <i>et al.</i> , "SiGe heterostructure CMOS circuits and applications," <u>Solid State Electronics</u> , Vol. 43, No. 8, (August 1999) pp. 1497-1506.
	C50	Pelekanos <i>et al.</i> , "Interface roughness correlation in CdTe/CdZnTe strained quantum wells," <u>Journal of Crystal Growth</u> , Vol. 184/185 (1998) pp. 886-889.
	C51	Ransom <i>et al.</i> , "Gate-Self-Aligned n-channel and p-channel Germanium MOSFET's," <u>IEEE Transactions on Electron Devices</u> , Vol. 38, No. 12 (December 1991) pp. 2695.
	C52	Reinking <i>et al.</i> , "Fabrication of High-Mobility Ge p-Channel MOSFETs on Si Substrates," <u>Electronics Letters</u> , Vol. 35, No. 6 (March 18, 1999) pp. 503-504.
	C53	Rim <i>et al.</i> , "Enhanced Hole Mobilities in Surface-Channel Strained-Si p-MOSFETs," <u>Solid State Electronics Laboratory</u> , Stanford University, Stanford, CA 94305 (1995) pp. 20.3.1-20.3.4.
	C54	Rim <i>et al.</i> , "Fabrication and Analysis of Deep Submicron Strained-Si N-MOSFET's," <u>IEEE Transactions on Electron Devices</u> , Vol. 47, No. 7 (July 2000) pp. 1406-1415.
	C55	Rim, "Application of Silicon Based Heterostructures to Enhanced Mobility Metal-Oxide-Semiconductor Field-Effect Transistors," Ph.D. Thesis, Stanford University (July 1999) pp. 1-184
	C56	Robbins <i>et al.</i> , "A model for heterogeneous growth of Si _{1-x} Ge _x films for hydrides," <u>Journal of Applied Physics</u> , Vol. 69, No. 6 (March 15, 1991) pp. 3729-3732.
	C57	Rosenblad <i>et al.</i> , "Virtual Substrates for the n- and p-type Si-MODFET Grown at Very High Rates," <u>Materials Science and Engineering</u> , Vol. B74 (2000) pp. 113-117.
	C58	Sadek <i>et al.</i> , "Design of Si/SiGe Heterojunction Complementary Metal-Oxide-Semiconductor Transistors," <u>IEEE Transactions on Electron Devices</u> , Vol. 43, No. 8 (August 1996) pp. 1224-1232.

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<table border="1"> <tr> <td><i>AC</i></td> <td>C59</td> <td>Schäffler, "High-mobility Si and Ge structures," <u>Semicond. Sci. Technol.</u>, Vol. 12 (1997) pp. 1515-1549.</td> </tr> <tr> <td></td> <td>C60</td> <td>Srolovitz, "On the Stability of Surfaces of Stressed Solids," <u>Acta metall.</u>, Vol. 37, No. 2 (1989) pp. 621-625.</td> </tr> <tr> <td></td> <td>C61</td> <td>Tweet <i>et al.</i>, "Factors determining the composition of strained GeSi layers grown with disilane and germane," <u>Applied Physics Letters</u>, Vol. 65, No. 20 (November 14, 1994) pp. 2579-2581.</td> </tr> <tr> <td></td> <td>C62</td> <td>Ueno <i>et al.</i>, "Low Temperature Buffer Growth for Modulation Doped SiGe/Ge/SiGe Heterostructures with High Hole Mobility," <u>Thin Solid Films</u>, Vol. 369 (2000) pp. 320-323.</td> </tr> <tr> <td></td> <td>C63</td> <td>Usami <i>et al.</i>, "Spectroscopic study of Si-based quantum wells with neighboring confinement structure," <u>Semicon. Sci. 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